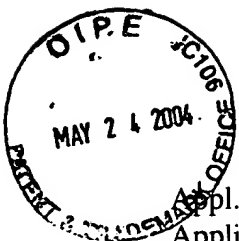


3624



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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 09/579,801 Confirmation No.: 8044  
 Applicants : Kenneth Kiron and Kevin S. Bander  
 Filed : May 26, 2000  
 TC/A.U. : 3624  
 Examiner : Steven R. Wasylchak

Docket No. : 3001 P 009

Title : Open End Mutual Fund Securitization Process

## AMENDMENT TRANSMITTAL

RECEIVED  
 MAY 26 2004  
 GROUP 3600

Mail Stop Amendment  
 Commissioner For Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Transmitted herewith is an Amendment in the above-identified Application. Applicants are a small entity.

The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136 apply. The shortened statutory period of response was set to expire on May 19, 2004. Applicants believe that no extension of term is required. However, this conditional petition is being made to provide for the possibility that Applicants have inadvertently overlooked the need for a petition for extension of time. The Commissioner is hereby authorized to charge any deficiencies in these fees to Deposit Account No. 23-0280. A duplicate copy of this sheet is attached.

No additional fee for the Amendment is required. The fee for the Amendment has been calculated as shown below:

				Small Entity		Other Than Small Entity	
	Claims Remaining After Amendment	Highest Number Previously Paid For	Present Extra	Rate	Additional Fee	Rate	Additional Fee
Total	45	- 45	= 0	x \$ 9	\$0	x \$ 18	\$
Independent	7	- 7	= 0	x \$ 43	\$0	x \$ 86	\$
First Presentation of Multiple Dependent Claims				x \$ 145	\$0	x \$ 290	\$0
TOTAL ADDITIONAL FEE						\$0	

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-0280. A duplicate copy of this sheet is attached.

X Any filing fees under 37 C.F.R. 1.16 for the presentation of extra Claims.

Respectfully submitted,

Date: May 19, 2004

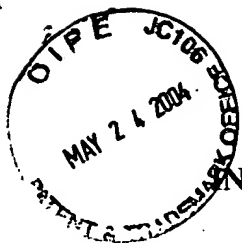
By: James P. Muraff  
James P. Muraff, Reg. No. 39,785  
Wallenstein Wagner & Rockey, Ltd.  
311 S. Wacker Drive, 53rd Floor  
Chicago, Illinois 60606-6630  
312.554.3300

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**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on May 19, 2004.

Gillian Gardner  
Gillian Gardner/201139



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO APRIL 19, 2004 OFFICE ACTION**

In response to the Office Action of April 19, 2004, please amend the above-identified application as follows:

Remarks/Arguments begin on page 2 of this paper.

**RECEIVED**  
MAY 26 2004  
**GROUP 3600**